



Attorney Docket No.: 305T-900300US  
Client Reference No.: SF2000-012

### DECLARATION

As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **NGF FOR THE PREVENTION OF DEMYELINATION IN THE NERVOUS SYSTEM** the specification of which \_\_\_ is attached hereto or x was filed on **April 8, 1998** as Application No. **09/529,369**.

I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56. I claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

#### Prior Foreign Application(s)

| Country | Application No. | Date of Filing | Priority Claimed Under 35 USC 119 |
|---------|-----------------|----------------|-----------------------------------|
| AU      | 72,149/98       | 04/08/1998     |                                   |
| CA      | 2,286,137       | 04/08/1998     |                                   |
| WO      | PCT/EP98/02029  | 04/08/1998     |                                   |

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below:

| Application No. | Filing Date |
|-----------------|-------------|
|                 |             |

I claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

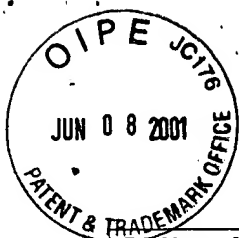
| Application No. | Date of Filing | Status  |
|-----------------|----------------|---------|
| 08/833,959      | April 11, 1997 | PENDING |

|                          |  |  |  |
|--------------------------|--|--|--|
| Full Name of Inventor 1: | Full Name: <b>Ilse Bartke</b>  |  |  |
| Residence & Citizenship: | City: <b>Mannheim</b>  | State/Foreign Country: <b>Germany</b>    | Country of Citizenship: <b>Germany</b> |
| Post Office Address:     | Post Office Address: <b>Sandhofer Straße 116<br/>D-68305 Mannheim</b>  |  |  |
| Full Name of Inventor 2: | Full Name: <b>Jürgen Unger</b>   |  |  |
| Residence & Citizenship: | City: <b>Landshut</b>  | State/Foreign Country: <b>Germany</b>    | Country of Citizenship: <b>Germany</b> |
| Post Office Address:     | Post Office Address: <b>Sperberweg 5<br/>D-84036 Landshut</b>          |  |  |
| Full Name of Inventor 3: | Full Name: <b>Claude Genain</b>  |  |  |
| Residence & Citizenship: | City: <b>Mill Valley</b>   | State/Foreign Country: <b>California</b> | Country of Citizenship: <b>France</b>  |
| Post Office Address:     | Post Office Address: <b>568 Marin Avenue<br/>Mill Valley, CA 94941</b> |  |  |
| Full Name of Inventor 4: | Full Name: <b>Stephen Hauser</b>                                       |  |  |
| Residence & Citizenship: | City: <b>Ross</b>  | State/Foreign Country: <b>California</b> | Country of Citizenship: <b>USA</b>     |
| Post Office Address:     | Post Office Address: <b>P.O. Box 1588<br/>Ross, CA 94957</b>           |  |  |

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

|   |  |   |
|---|--|---|
| Signature of Inventor 1<br><br><b>Ilse Bartke</b> | Signature of Inventor 2<br><br><b>Jürgen Unger</b> | Signature of Inventor 3<br><br><b>Claude Genain</b> |
| Date <b>05/14/2001</b>                            | Date   | Date  |

|  |
|--|
| Signature of Inventor 4<br><br><b>Stephen Hauser</b> |
| Date   |



Attorney Docket No.: 305T-900300US  
Client Reference No.: SF2000-012

|                          |   |   |   |
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| Post Office Address:     | Post Office Address:<br><b>Sandhofer Straße 116<br/>D-68305 Mannheim</b>  |   |   |
| Full Name of Inventor 2: | Full Name:<br><b>Jürgen Unger</b> <i>20</i>                               |   |   |
| Residence & Citizenship: | City:<br><b>Landshut</b> <i>DB</i>  | State/Foreign Country:<br><b>Germany</b>    | Country of Citizenship:<br><b>Germany</b> |
| Post Office Address:     | Post Office Address:<br><b>Sperberweg 5<br/>D-84036 Landshut</b>          |   |   |
| Full Name of Inventor 3: | Full Name:<br><b>Claude Genain</b>  |   |   |
| Residence & Citizenship: | City:<br><b>Mill Valley</b>   | State/Foreign Country:<br><b>California</b> | Country of Citizenship:<br><b>France</b>  |
| Post Office Address:     | Post Office Address:<br><b>568 Marin Avenue<br/>Mill Valley, CA 94941</b> |   |   |
| Full Name of Inventor 4: | Full Name:<br><b>Stephen Hauser</b>                                       |   |   |
| Residence & Citizenship: | City:<br><b>Ross</b>  | State/Foreign Country:<br><b>California</b> | Country of Citizenship:<br><b>USA</b>     |
| Post Office Address:     | Post Office Address:<br><b>P.O. Box 1588<br/>Ross, CA 94957</b>           |   |   |

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|                         |                               |                         |
|-------------------------|-------------------------------|-------------------------|
| Signature of Inventor 1 | Signature of Inventor 2       | Signature of Inventor 3 |
| <u>Ilse Bartke</u>      | <u>Jürgen Unger</u> <i>20</i> | <u>Claude Genain</u>    |
| Date                    | Date <i>05/15/2001</i>        | Date                    |

|                         |
|-------------------------|
| Signature of Inventor 4 |
| <u>Stephen Hauser</u>   |
| Date                    |



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| Post Office Address:     | Post Office Address:<br><b>Sperberweg 5<br/>D-84036 Landshut</b>          |   |   |
| Full Name of Inventor 3: | Full Name:<br><b>Claude Genain</b> <i>Genain</i>                          |   |   |
| Residence & Citizenship: | City:<br><b>Mill Valley</b> <i>CA</i>                                     | State/Foreign Country:<br><b>California</b> | Country of Citizenship:<br><b>France</b>  |
| Post Office Address:     | Post Office Address:<br><b>568 Marin Avenue<br/>Mill Valley, CA 94941</b> |   |   |
| Full Name of Inventor 4: | Full Name:<br><b>Stephen Hauser</b>                                       |   |   |
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| Post Office Address:     | Post Office Address:<br><b>P.O. Box 1588<br/>Ross, CA 94957</b>           |   |   |

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|                         |                         |                         |
|-------------------------|-------------------------|-------------------------|
| Signature of Inventor 1 | Signature of Inventor 2 | Signature of Inventor 3 |
|                         |                         |                         |
| <b>Ilse Bartke</b>      | <b>Jürgen Unger</b>     | <b>Claude Genain</b>    |
| Date                    | Date                    | Date <b>April 9/01</b>  |

|                         |
|-------------------------|
| Signature of Inventor 4 |
|                         |
| <b>Stephen Hauser</b>   |
| Date                    |



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|                         |                         |                         |
|-------------------------|-------------------------|-------------------------|
| Signature of Inventor 1 | Signature of Inventor 2 | Signature of Inventor 3 |
| <b>Ilse Bartke</b>      | <b>Jürgen Unger</b>     | <b>Claude Genain</b>    |
| Date                    | Date                    | Date                    |

|                         |
|-------------------------|
| Signature of Inventor 4 |
| <b>Stephen Hauser</b>   |
| Date <b>4/10/01</b>     |



(Modified) PTO/SB/81 (11-96)  
Approved for use through 6/30/99. OMB 0651-0035

|  |                        |               |
|--|------------------------|---------------|
| <b>POWER OF ATTORNEY OR<br/>AUTHORIZATION OF AGENT, NOT<br/>ACCOMPANYING APPLICATION</b> | Application Number     | 09/529,369    |
|  | Filing Date            | April 8, 1998 |
|  | First Named Inventor   | Ilse Bartke   |
|  | Group Art Unit         | Not yet known |
|  | Examiner Name          | Not yet known |
|  | Attorney Docket Number | 305T-900300US |

I hereby appoint:

☒ Practitioners at Customer Number 22798  
Type Customer Number Here



OR

Practitioner(s) named below:

| Name | Registration Number |
|------|---------------------|
|      |                     |
|      |                     |
|      |                     |
|      |                     |

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

☒ The above-mentioned Customer Number.

THAT IS:

|                         |                                    |       |                |     |       |
|-------------------------|------------------------------------|-------|----------------|-----|-------|
| Firm or Individual Name | Law Offices of Jonathan Alan Quine |       |                |     |       |
| Address                 | P.O. Box 458                       |       |                |     |       |
| Address                 |                                    |       |                |     |       |
| City                    | Alameda                            | State | CA             | Zip | 94501 |
| Country                 | United States                      |       |                |     |       |
| Telephone               | (510) 337-7871                     | Fax   | (510) 337-7877 |     |       |

I am the

☐ Applicant.  
☒ Assignee of record of the entire interest (*Certificate under 37 CFR 3.73(b) is enclosed*)

SIGNATURE of Applicant or Assignee of Record

|           |                           |
|-----------|---------------------------|
| Name      | Susan Y. Nakashima        |
| Signature | <i>Susan Y. Nakashima</i> |
| Date      | April 9, 2001             |

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States as first class mail in an envelope addressed to:  
Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: June 4, 2001

|                       |              |      |        |
|-----------------------|--------------|------|--------|
| Typed or printed name | Richard Pask |      |        |
| Signature             | Richard Pask | Date | 6/4/01 |



**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant: Ilse Bartke, et al.

Application No.: 09/529,369

Filed: April 8, 1998

Entitled: NGF FOR THE PREVENTION OF DEMYELINATION IN THE NERVOUS SYSTEM

The Regents of the University of California, a

corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of an undivided part interest

in the patent application identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel \_\_, Frame \_\_, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_, Frame \_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_, Frame \_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_, Frame \_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet

☒ Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

April 9, 2001  
Date

Susan Y. Nakashima  
Signature

Susan Y. Nakashima  
Typed or printed name

Business Manager, UCSF - OTM  
Title

Attorney Docket No.: 305T-900300US  
Client Reference No.: SF2000-012

## ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS, Ilse Bartke, of Sandhofer Straße 116, D-68305 Mannheim, Jürgen Unger of Sperberweg 5, D-84036 Landshut, Claude Genain of 568 Marin Avenue, Mill Valley, CA 94941, Stephen Hauser, P.O. Box 1588, Ross, CA 94957, hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: NGF FOR THE PREVENTION OF  
DEMYELINATION IN THE NERVOUS  
SYSTEM

Filing Date: April 8, 1998

Application No.: 09/529,369; and

WHEREAS, The Regents of the University of California, a California corporation, having its statewide administrative offices located at 1111 Franklin Street, 12th Floor, Oakland, CA 94607-5200, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on any patent application claiming priority from the same in the United States and all countries throughout the world, and which claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.



Assignment  
Application No.: 09/529,369  
Page 2

IN TESTIMONY WHEREOF, Assignors have signed his/her name on the date indicated.

Dated: 05/14/2001

Ilse Bartke  
Ilse Bartke

SIGNATURE WITNESSED BY:

(1) Date: 5/14/2001

[Signature]  
Signature of Witness 1

Dated: \_\_\_\_\_

\_\_\_\_\_  
Jürgen Unger

SIGNATURE WITNESSED BY:

(1) Date: \_\_\_\_\_

\_\_\_\_\_  
Signature of Witness 1

Dated: \_\_\_\_\_

\_\_\_\_\_  
Claude Genain

SIGNATURE WITNESSED BY:

(1) Date: \_\_\_\_\_

\_\_\_\_\_  
Signature of Witness 1

Assignment  
Application No.: 09/529,369  
Page 2

IN TESTIMONY WHEREOF, Assignors have signed his/her name on the date indicated.

Dated: \_\_\_\_\_

\_\_\_\_\_  
Ilse Bartke

SIGNATURE WITNESSED BY:

(1) Date: 05/15/2001

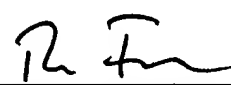
\_\_\_\_\_  
Signature of Witness 1

Dated: 05/15/2001

  
Jürgen Unger

SIGNATURE WITNESSED BY:

(1) Date: 05/15/2001

  
Signature of Witness 1

Dated: \_\_\_\_\_

\_\_\_\_\_  
Claude Genain

SIGNATURE WITNESSED BY:

(1) Date: \_\_\_\_\_

\_\_\_\_\_  
Signature of Witness 1

Assignment  
Application No.: 09/529,369  
Page 2

IN TESTIMONY WHEREOF, Assignors have signed his/her name on the date indicated.

Dated: \_\_\_\_\_

\_\_\_\_\_  
Ilse Bartke

SIGNATURE WITNESSED BY:

(1) Date: \_\_\_\_\_

\_\_\_\_\_  
Signature of Witness 1

Dated: \_\_\_\_\_

\_\_\_\_\_  
Jürgen Unger

SIGNATURE WITNESSED BY:

(1) Date: \_\_\_\_\_

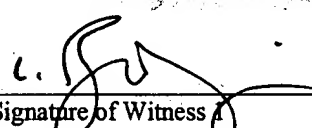
\_\_\_\_\_  
Signature of Witness 1

Dated: April 9/01

  
Claude Genain

SIGNATURE WITNESSED BY:


(1) Date: 4/9/01

  
Signature of Witness 1

CHRISTIAN VON BUEBINGEN

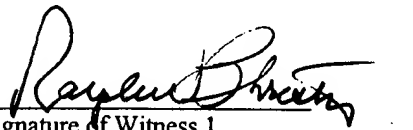
Assignment  
Application No.: 09/529,369  
Page 3

Dated: 4/12/01

  
Stephen Hauser

SIGNATURE WITNESSED BY:

(1) Date: 4/10/01

  
Signature of Witness 1